

INDOT Office of Transit



State Transportation Improvement **Program** **Guide to Transit STIP Document** **Submissions.** **Updated November 2022**

Table of Contents

<u>1. Introduction and Glossary</u>	<u>1</u>
<u>2. Submitting a TPIN Request to INDOT</u>	<u>4</u>
<u>3. Submitting a Modification Request to INDOT</u>	<u>5</u>
<u>4. Submitting an Amendment Request to INDOT</u>	<u>5</u>
<u>5. Submitting a Transfer of FHWA Funds to FTA Accounts</u>	<u>7</u>
<u>6. “Emergency” TPIN Requests, Modifications, and Amendments</u>	<u>7</u>
<u>Appendix A - Flowchart: Amendment or Modification?</u>	<u>8</u>

1. Introduction and Glossary

Federal Regulations (23 CFR 450) Require the development of a Statewide Transportation Improvement Plan (**STIP**). This is a document that describes the State’s transportation projects planned for the next four years. The STIP also includes, by reference, a Transportation Improvement Plan TIP from each MPO. Periodically a new TIP and STIP are created – usually every two years. A TIP and STIP are both PLANNING documents meaning they are approximations based on a current best guess and should not be relied on for accounting purposes.

To be included in the STIP, all transit projects will need to have their own **TPIN (Transit Project Identification Number)** If you are familiar with Highway projects, a TPIN serves a similar purpose to a DES#. Once you have a TPIN for your project, it may be added to the STIP either at the beginning of the new **STIP** cycle or later with an **Amendment**. Should you need to add or reduce the funding toward this project, a **Modification** is required for small changes and another **Amendment** will be required for larger changes. Occasionally you may need to move funds from an **FHWA** administered grant to an **FTA** Account. To do so will require a **Transfer**.

To understand this process fully, you will need to understand the definitions of a few terms.

53XX – Refers to FTA §5300 series grants such as FTA §5307 Urban Transit or FTA §5311 Other than Urban funds.

Amendment- An amendment is a revision that requires public review and comment and a redemonstration of fiscal constraint. For any change to a TIP or the STIP which adds a new project or makes large changes to a project’s budget, scope, or description, 23 CFR 450 requires that the change be treated as an **Amendment** regardless of an MPO’s internal procedures.

FHWA – Federal Highway Administration

FTA – Federal Transit Administration

Modification –A minor change to the STIP in which no new DES#s are added and does not require substantial budget changes. A Modification Request is valid only for the current STIP. If you would like to include an Amendment in a later version of the STIP, you must re-submit this once the new STIP is active. There is no mechanism to save these for a subsequent STIP. Regardless of an MPOs internal procedures, 23 CFR 450 allows only small changes to a project to be treated as a **Modification. Modifications are processed quarterly.**

MPO – Metropolitan Planning Organization – The organization which creates the TIP for their planning area. These organizations submit their TIP along with amendment and modification requests to INDOT to be included in the INDOT STIP.

Project – A project is an activity which incurs expenses has a definite beginning and end. Transit Projects are typically Operating such as a specific single year of operating expenses, Capital such as a vehicle purchase, or Planning. A project is not the same as a grant or funding source. A project may have more than one funding source. Removing all funding from a project, such as moving it from one year of operating to another effectively eliminates that project and thus requires an **Amendment**.

Although 23 CFR 450.218(i)(4) allows projects to be grouped, **FTA Region V** has requested that transit projects not be grouped but instead be separated by Activity Line Item.

Resolution- An official signed document from the governing body of an MPO which, states that a TIP Amendment is formally adopted by that governing body. This document must reference the specific project and any changes that are being made to that project. A Signed Resolution or equivalent document by another name must accompany any request to Amend the STIP.

STIP – State Transportation Improvement Plan. This includes a listing of state projects and includes the MPO TIPs by reference. The STIP is a PLANNING document. It is not an accounting document. Budgets and project descriptions contained therein are approximate and should not be taken as precise. See 23 CFR 450 for details on the development of a STIP.

TIP – Transportation Improvement Plan. See 23 CFR 450 for details on the development of a TIP.

TPIN – Transit Project Identification Number – This is a unique Identifier for Transit Projects. Each Transit Project such as a specific single year of fixed route operating expenses, or a vehicle purchase will have its own TPIN. Each TPIN is linked to a specific project. It is important to remember that it is NOT linked to a specific grant or Federal funding source. A project may have more than one Federal funding source. A funding source (for example your annual allocation of FTA 5339) may be spread across multiple projects. **Allow at least 30 days to receive a requested TPIN.** A TPIN will have the format MPO-YY-XXX for example MUN-20-001 for a 2020 project in the Muncie MPO.

Transfer – In this usage a transfer refers to a transfer of funds from an FHWA account to a FTA account. **A transfer of funds is a separate process from an Amendment or Modification.**

2. Submitting a TPIN Request to INDOT

Each Transit Project such as a specific single year of fixed route operating expenses, or a vehicle purchase will have its own TPIN. Each TPIN is linked to a specific project. It is important to remember that it is NOT linked to a specific grant or Federal funding source. A project may have more than one Federal funding source such as FTA 5307 and STBG. A funding source (for example your annual allocation of FTA 5339) may be spread across multiple projects. If your project contains a phase other than PE (Preliminary Engineering), please clearly identify the phases and their funding as separate lines.

November 2022 Update: Although 23 CFR 450.218(i)(4) allows projects to be grouped, FTA Region V has requested that transit projects not be grouped but instead be separated by Activity Line Item.

To submit a TPIN Request, you will need to complete the **TPIN Request Form** located at:

<https://www.in.gov/indot/multimodal/transit/transit-stip/>

The TPIN Request Form contains several fields which must be completed.

MPO refers to the Metropolitan Planning Organization submitting the project.

Sponsor Name refers to the Sponsor of the Project such as the Transit Agency that will be providing services or purchasing vehicles.

Project Description should include the phase of the project if it is anything other than PE (Preliminary Engineering). Other Phases typically only used for construction projects include RW (Right of Way) and CN (Construction). We will assume that the project is PE unless otherwise stated.

Fiscal Year is the Year that the project is initiated. For most operating and capital projects this will be the only year the project is active. For construction projects, this is the year that this phase of the project begins.

Local refers to the local match for federal funds. Local includes all non-federal money including any state money. Use whole dollar amounts only.

Federal should contain the Federal portion of funding for this funding line. A project may use multiple types and thus have multiple lines of federal funding such as 5307, CMAQ and STBG. Each has an accompanying Local column to match. Use whole dollar amounts only.

Total is the Total of **Local** (Non-Federal) and **Federal** funds applied to the project. This will be a whole dollar amount only.

Federal Funding Source: Types include 5307, 5310, 5311, 5339, CMAQ, STBG, etc. (53xx refers to FTA Section 53xx such as FTA Section 5307)

Once you have completed the form email it in the original MS Excel format to INDOT Transit Planner Jason Casteel JCasteel@indot.in.gov. Use the subject line "TPIN Request – MPO Name – Brief Project Description" such as

Subj: TPIN Request – Robertsville MPO - >35' Transit Busses.

Allow at least 30 days to receive a requested TPIN.

Note that amending a project into the STIP is a separate process (see below)

3. Submitting a Modification Request to INDOT

To Submit a modification Request, you will need to submit a letter from your MPO requesting the change as well as a properly completed Transit Amendment/Modification request form.

Modification Requests are processed quarterly, Modifications are collected during a quarter and then reviewed and processed in a batch with those submitted by other agencies. This process usually takes less than 30 days after the end of the quarter, however incorrect or inadequate paperwork, mis-submitting an amendment as a modification, the handling of emergency requests, or other issues may delay this process.

If you are changing any of the financial information such as changes to a funding line or changing adding a source of funding, you will need to provide information regarding the current funding sources, and what you would like to change them to.

See Section 2 Submitting a TPIN Request to INDOT for a description of the fields on the Modification/Amendment Request Form.

If you would like to include a Modification in a later version of the STIP, you must re-submit this once new STIP is active. There is no mechanism to save these for a subsequent STIP.

Once you have completed the form, email it, in the original MS Excel format, and a .pdf of your request letter to INDOT Transit Planner Jason Casteel JCasteel@indot.in.gov. Use the subject line "Modification Request – MPO Name – DES#" such as

Subj: Modification Request – Robertsville MPO - TPIN: ROB-99-001

Please send Modification requests far in advance.

4. Submitting an Amendment Request to INDOT

Per 23 CFR 450, An amendment is a revision that requires public review and comment and a redemonstration of fiscal constraint.

Changes to a TIP or the STIP which add a new project or make large changes to a project's budget, scope, or description, are required by 23 CFR 450 to be treated as an Amendment regardless of an MPO's internal procedures.

Any change to funding by more that 50% of the current value, addition or removal of a project, or change in year of project initiation date into or out of the current STIP period (4 year range) will be considered an Amendment.

An Amendment requires an approval from the Federal Transit Administration. **An Amendment Request is valid only for the current STIP.** *If you would like to include an Amendment in a later version of the*

STIP, you must re-submit this once the new STIP is active. There is no mechanism to save these for a subsequent STIP.

Amendment requests are sent to FTA Quarterly, Amendments are collected during a quarter and then reviewed and processed in a batch with those submitted by other agencies. This process usually takes less than 30 days after the end of the quarter, however, incorrect, or inadequate paperwork, mis-submitting an amendment as a modification, the handling of emergency requests, or other issues may delay this process. It may take some time before approval is received. It is important to send an Amendment request far in advance of the needed date.

The procedures for submitting an amendment request are nearly the same as for a modification request. The primary difference is that signed documentation from your MPO's board or governing body that specifically identifies the change is required and the change must be approved by FTA.

To Submit an Amendment Request, you will need to submit a letter from your MPO requesting the change as well as a properly completed **Transit Amendment/Modification request form** and **signed documentation** such as a resolution or meeting minutes that specifically identifies the project and the changes to it.

If you are changing any of the financial information such as changes to a funding line or changing adding a source of funding, you will need to provide information regarding the current funding sources, and what you would like to change them to.

See Section 2 Submitting a TPIN Request to INDOT for a description of the fields on the Modification/Amendment Request Form.

Once you have completed the form email it, the request letter, and signed documentation indicating board approval to INDOT Transit Planner Jason Casteel JCasteel@indot.in.gov. Use the subject line "Amendment Request – MPO Name – DES#" such as:

Subj: Amendment Request – Robertsville MPO - TPIN: ROB-99-001

Please send Amendment requests far in advance.

5. Submitting a Transfer of FHWA Funds to FTA Accounts

To request a transfer of FHWA funds to an FTA Account, you will need to email your request to Larry Buckel, Manager, Office of Transit at LBuckel@indot.in.gov

Please keep in mind that if you are transferring funds to an FTA project, you will likely need to update that project with an amendment or modification as well. The Transfer process is separate from any amendment or modification.

Once funds are transferred from FHWA to FTA, they cannot be transferred back.

6. “Emergency” TPIN Requests, Modifications and Amendments

Emergencies happen; bus barns burn down, tornadoes damage equipment, and new funding sources present themselves unexpectedly. We are all constantly learning, being presented with or thinking of new ideas and everyone occasionally makes an oversight. In the event that your New TPIN request, Modification, or Amendment cannot wait for the usual cycle, please do not hesitate to contact our office. Like all government and transit related agencies, we do have limited resources, but will absolutely do what we can to expedite the process. We do not want you to lose funding due to an INDOT procedure. (Or anything else, for that matter!) The more advance notice we have for the need for an emergency request, the more options we have for prioritizing it over “business as usual.”

If you have an emergency need for TPIN Requests Modifications or Amendments,
Contact Jason Casteel at JCasteel@indot.in.gov as soon as possible.

Appendix A: Flowchart: Amendment or Modification?

INDIANA STIP: Amendment or Modification?

